

Owner Summary (5A) Record, Part I, Section A - Required

This record is required to identify the individual(s) or organization(s) on whose behalf transaction(s) was conducted. If the transaction was completed for more than one individual or organization there should be a record for each individual/organization. The following data elements are required for these records:

Field Position	Field Name	Length	Description and Remarks
1-2	Record Type	2	Enter '5A'.
3-9	Branch Code	7	Enter the branch number for the submitting branch. Right justify and zero fill.
10-14	Transaction Sequence No.	5	Enter the transaction sequence number from the associated Currency Transaction (3A) Record.
15	DBA Record Indicator	1	Enter '1', if there is a DBA (5A) Continuation Record.
16-50	Org. or Indiv. Name	35	Enter the name of the person/organization on whose behalf the transaction is conducted. Individual names are in the format last name/first name/middle initial. Follow the name editing conventions and standard abbreviations shown in the attachments.
51-85	Org. or Indiv. Address	35	Enter the street address of the owner.
86-112	Org. or Indiv. City	27	Enter the city of the owner.
113-114	Org. or Indiv. State	2	From the attachment, enter the appropriate 2 character state code.
115-123	Org. or Indiv. Zip Code	9	Enter the zip code.
124-125	Org. or Indiv. Country	2	From the attachment, enter the appropriate 2 character country code.
126-134	EIN/SSN	9	Enter the owners EIN or SSN
135-169	Occ., Prof., Bus.	35	Enter the occupation, profession, or business of the individual for whom the transaction was conducted. (i.e., Attorney, Securities Broker, Auto Dealer).

Owner Summary (5A) Record - (continued)

Field Position	Field Name	Length	Description and Remarks
170	Method of Identification	1	<p>Required for all individuals conducting a reportable transaction for themselves. Enter the appropriate code the identification provided.</p> <p>A Drivers' License/State ID B Passport C Alien Registration D Other Identification E Disabled/Elderly who do not have the required ID F Foreign Entity with no ID L Law Enforcement M Amish Customer with no ID</p> <p>Note: For codes "E", "F", "L" and "M" (customer with no ID), no entry required for positions 171-172, ID Issued by, and positions 173-196, ID Number.</p>
171-172	ID Issued by	2	From the attachments, enter the appropriate 2 character state/country code.
173-196	ID Number	24	Enter the number from the identification.
197-204	Date of Birth	8	Enter the date of birth of the individual for whom the transaction was conducted. It is a numeric 8 digit field in century, year, month, day format (CCYYMMDD).
205-210	Filler	6	
211-220	User Field	10	

DBA RECORD (second 5A record)

If the FI has knowledge of a separate Doing Business As (DBA) name, two 5A records will be filed for the owner instead of one 5A record. Enter a '1' in the DBA Record Indicator on the first 5A record. The two 5A records described above will be treated as one 5A record. Therefore the error code numbering scheme for the acknowledgement record which reflects the occurrence number of the 5A records will treat these two 5A records as one occurrence. Similarly, any counts of the number of '5A' records will not include the DBA records. The second 5A record will include the following required data elements:

Field Position	Field Name	Length	Description and Remarks
1-2	Record Type	2	Enter '5A'.
3-9	Branch Code	7	Enter the branch number for the submitting branch.
10-14	Transaction Sequence No.	5	Enter the transaction sequence number from the associated Currency Transaction 3A Record.
15	DBA Indicator	1	Enter '9'.
16-50	DBA Name	35	Enter a separate 'doing business as' name. From the attachments, follow the name editing conventions and standard abbreviations.
51-210	Filler	160	
211-220	User Field	10	